

Instructions to Cardroom Applicants and Key Employees

DGC-APP .007 (Rev. 09/03/09/04)

DEPARTMENT OF JUSTICE DIVISION OF GAMBLING CONTROL

INSTRUCTIONS TO CARDROOM APPLICANTS AND KEY EMPLOYEES

The following forms and documentation must be submitted in conjunction with the submission of an application for a state gambling license to the ~~California Gambling Control Commission, P.O. Box 526013, Sacramento, California 95852-6013.~~ Originals are required unless otherwise stated. Any corrections, changes or other alterations must be initialed and dated by the applicant. **Pursuant to Business and Professions Code section 19868, subd. (a), an official filing date will not be established until all required forms, documentation, and fees have been received by the Division.**

| Forms/Documentation | Sole Proprietor | Corporation/Partnership | Individual Corporate Interest | Individual Partnership Interest | Trust | Trustee/Trustor/Beneficiary | Key Employee | Other |
|---|-----------------|-------------------------|-------------------------------|---------------------------------|-------|-----------------------------|--------------|-------|
| <u>Cardroom Applicant - Supplemental Background Information Part I</u> (DGC-APP. 015A [Rev. 09-03/09/04]) | X | X | X | X | X | X | | X |
| <u>Cardroom Applicant - Business Supplemental Background Information Part II</u> (DGC-APP. 015A [Rev. 09-03/09/04]) | | X | X | X | X | X | | X |
| <u>Gambling Establishment Supplemental Background Information Part III</u> (DGC-APP. 015A [Rev. 09-03/09/04]) | X | X | | | | | | |
| <u>Supplemental Background Information Part IV</u> (DGC-APP. 015A [Rev. 09-03/09/04]) | X | X | | | | | | |
| Key Employee Supplemental Background Information (DGC-APP. 016A [Rev. 09-03/09/04]) | | | | | | | X | |
| Applicant's Declaration, Acknowledgment, and Agreement (Community Property Interest) (DGC-APP. 011 [Rev. 09-03/09/04]) or Applicant's Declaration, Acknowledgment, and Agreement (Sole and Separate Property) (DGC-APP. 012 [Rev. 09-03/09/04])* | X | | X | X | X | X | | |
| Declaration of Full Disclosure (DGC-APP. 005 [Rev. 09-03/09/04]) | X | X | X | X | X | X | X | X |
| Authorization to Release Information (DGC-APP. 006 [Rev. 09-03/09/04]) | X | X | X | X | X | X | X | X |
| Appointment of Designated Agent (DGC-APP. 008 [Rev. 09-03/09/04]) | X | X | | | X | | | |
| Request for Copy of Personal Income Tax or Fiduciary Return (FTB 3516 [Rev. 01-00 06-03 side 1]) | X | | X | X | | X | X | X |
| Request for Copy of Bank & Corporation or Partnership Return (FTB 3516 [Rev. 01-00 06-03 side 2]) | | X | | | | | | |
| Internal Revenue Service Tax Information Authorization (IRS 8821 [Rev. 01-00 04-04]) | X | X | X | X | X | X | X | X |
| Tax Returns - Signed copies of state and federal, both individual and business for the past three years, including all schedules and attachments. | X | X | X | X | X | X | X | X |
| Bank Statements - Copies for any and all personal and business accounts for past 18 months. | X | X | X | X | X | X | X | X |
| Investment Account Statements - Copies for any and all accounts for the past 18 months. | X | X | X | X | X | X | X | X |
| Naturalization Certificate - If naturalized citizen, copy of your naturalization certificate | X | | X | X | | X | X | X |
| Request for Live Scan Service (BCII 8016[Rev. 04-01]) | X | | X | X | | X | X | X |
| Balance Sheets and Income Statements - Copies for the last 3 fiscal years. | X | X | | | | | | |
| Trust Agreement - Copy | | | | | X | X | | |
| All Lease Agreements - Copy | X | X | | | | | | |
| Purchase/Sale Agreement - Copy | X | X | X | X | X | | | |

* Review both forms and complete the appropriate declaration. If you are married, your spouse must refer to the "Instructions to Applicant's Spouse."

| Forms/Documentation | Sole Proprietor | Corporation/Partnership | Individual Corporate Interest | Individual Partnership Interest | Trust | Trustee/Trustor/Beneficiary | Key Employee | Other |
|---|-----------------|-------------------------|-------------------------------|---------------------------------|-------|-----------------------------|--------------|-------|
| Loan Documentation - Copies | X | X | X | X | | | | |
| Management Company Agreement - Copy | X | X | | | | | | |
| Employment Contract - Copy | | | | | | | X | X |
| License Agreement - Copy | | | | | | | | X |
| Local Gambling Establishment Business License or Permit - Copy | X | X | | | | | | |
| Conditional Use Permit - Copy | X | X | | | | | | |
| Employee Work Permit Certification (DGC-APP. 019 [Rev. 09/03]) | X | X | | | | | | |
| Local Cardroom Employee License, Permit, Badge, etc. - Copy | X | | | | | | X | |
| Names and rules of all games & gaming activities, including a description of the event that determines the winner of the game or gaming activity, the wagering conventions, and the fee collection and assessment methods | X | X | | | | | | |
| Organizational Chart - Show Names, Job Titles and Lines of Accountability | X | X | | | | | | |
| Identification of Potential Key Employees with Categories Identified (see Regulation 2060) | X | X | | | | | | |
| Full and Complete Description of Duties Performed by Persons Occupying Each Potential Key Employee Position (Document must be signed by designated agent/owner licensee.) | X | X | | | | | | |
| Cardroom Security Plan/Cardroom Floor & Gambling Table Layout - Copy | X | X | | | | | | |
| Key Employee Background Investigation Deposit - \$1,200 | | | | | | | X | |
| Cardroom Applicant Background Investigation Deposit - \$5,000 | X | X | X | X | | X | | X |
| <u>Each trust applicant must submit a background investigation deposit that, in the judgment of the Director of the Division, will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867.</u> | | | | | X | | | |

~~Each applicant must submit a background investigation deposit that, in the judgment of the Director of the Division, will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867. Pursuant to Business and Professions Code section 19867, an~~ An applicant is responsible for all costs incurred by the Division while conducting his/her background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded to the applicant. A license will not be issued until all outstanding background investigation and issuance fees are received.